

Community Services Block Grant (CSBG) Model State Plan

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THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 31 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1

CSBG Administrative Information

- 1.1.** Identify whether this is a one-year or a two-year plan. ☐ One-Year ☒ Two-Year
- 1.1a.** Provide the federal fiscal years this plan covers: Year One 2021 Year Two 2022
- 1.2.** **Lead Agency:** Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.
- Has information in regards to the state lead agency changed since the last submission of the state plan? ☐ Yes ☒ No
- If yes, provide the date of change and select the fields that have been updated
- | | | |
|--|--|-------------------------------------|
| <input type="checkbox"/> Lead Agency | <input type="checkbox"/> Department Type | <input type="checkbox"/> Office |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Work Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | |
- 1.2a.** Lead agency [Housing and Community Development Division \(HCDD\)](#)
- 1.2b.** Cabinet or administrative department of this lead agency
- ☒ Community Affairs Department
 - ☒ Community Services Department
 - ☐ Governor's Office
 - ☒ Health Department
 - ☒ Housing Department
 - ☒ Human Services Department
 - ☒ Social Services Department
 - ☒ **Other**, describe: [Department of Workforces Services](#)
- 1.2c.** **Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official
- [Department of Workforce Services](#)
- 1.2d.** Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter

(attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M.

Name: Jonathan D. Hardy Title: Director, Housing and Community Development Division

1.2e. Street Address: 1385 S. State Street

1.2f. City: Salt Lake City

1.2g. State: Utah

1.2h. Zip Code: 84115

1.2i. Work Telephone Number and Extension (if applicable): 801-468-0137

1.2j. Fax Number: 801-468-0211

1.2k. Email Address: jhardy@utah.gov

1.2l. Lead Agency Website <https://jobs.utah.gov/housing/scso/csbg/index.html>

1.3. **Designation Letter:** Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. [Attached]

1.4. **CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated [Date Picker and Check all the apply]

- | | | |
|--------------------------------------|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input type="checkbox"/> Zip Code |
| <input type="checkbox"/> Work Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | | |

1.4a. Agency Name: Housing and Community Development Division, State Community Services Office (SCSO)

1.4b. Point of Contact Name

Name: Sisifo Taatiti

Title Director State Community Services Office

1.4c. Street Address: 1385 South State Street

1.4d. City: Salt Lake City

- 1.4e. State: [Utah](#)
- 1.4f. Zip Code: [84115](#)
- 1.4g. Work Telephone Number: [801-468-0069](#)
- 1.4h. Fax Number: [801-468-0211](#)
- 1.4i. Email Address: staatiti@utah.gov
- 1.4j. Agency Website:

<https://jobs.utah.gov/housing>

1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state. ☒ Yes ☐ No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated.

- | | | |
|--------------------------------------|---|--|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Executive Director | <input checked="" type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input checked="" type="checkbox"/> Zip Code |
| <input type="checkbox"/> Work Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | <input type="checkbox"/> RPIC Lead | |

1.5a. Agency name: [Utah Community Action Partnership Association dba Community Action Partnership of Utah](#)

1.5b. Executive Director or Point of Contact

Name [Clint Cottam](#)

Title [Executive Director](#)

1.5c. Street Address: [875 E Highway 193](#)

1.5d. City: [Layton](#)

1.5e. State: [Utah](#)

1.5f. Zip Code: [84040](#)

1.5g. Telephone Number: 801-433-3025

1.5h. Fax Number: none

1.5i. Email Address: clint@caputah.org

1.5j. State Association Website: <https://caputah.org>

1.5k. State Association currently serves as the Regional Performance Innovation
Consortia (RPIC) lead

☐ Yes ☒ No

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Section 2

State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ☒ Yes ☐ No
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ☒ Yes ☐ No
- 2.3. **Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. **[Attached]**
- 2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. **Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. ☐ Yes ☒ No
- 2.4b. **Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. ☐ Yes ☒ No
- 2.4c. **Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. ☒ Yes ☐ No

Section 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities: Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency.

The State Community Services Office (SCSO) provides guidance, oversight, and funding to help communities assist people to become more self-reliant (socially, physically, culturally, and economically) by working to reduce the impacts of poverty and improving the quality of life for low-income Utahns. The SCSO coordinates State activities designed to reduce the impacts of poverty and encourage entities in the private sector to participate in efforts to ameliorate poverty in the community. The SCSO will continue to develop and refine policies and procedures to enhance management goals and standards. The SCSO supports efforts to assist grantees to use data and needs assessment information to improve service and program delivery while preserving the flexibility and local initiative of CSBG to impact and address local poverty issues.

3.2. State Plan Goals: Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

Goal 1: The SCSO will administer the CSBG program in Utah in accordance with its mission and in compliance with all applicable statutes, rules, and regulations, in a manner which will increase management efficiency and program effectiveness. Objective 1: The SCSO will allocate and distribute funds in accordance with the CSBG Act and amendments. Objective 2: The SCSO will ensure fiscal accountability of CSBG grantees. Objective 3: The SCSO will support organizational best practices and strengthen organizational capacity, management efficiency, and program effectiveness through review for compliance with the CSBG Organizational Standards as set forth by the Office of Community Services. Goal 2: To advocate for the continuation of funds, community involvement and support, and the expansion of programs to provide services and activities having a measurable impact on the causes and conditions of poverty. Objective 1: Conduct planning activities to promote the successful results of CSBG-funded activities that collaborate with all interested parties throughout the State with the greatest potential impact on poverty in Utah. Objective 2: The SCSO will monitor and evaluate grantee performance through data collection, program assessment, compliance with the organizational standards, and regular on-site visits. Objective 3: Consistent with available resources, training and technical assistance will be provided through the SCSO to increase administrative and operational effectiveness, including compliance with the organizational standards. Objective 4: The SCSO, in conjunction with other state offices, will research and report on poverty conditions, including intergenerational poverty, and anti-poverty program outcomes throughout the State.

3.3. State Plan Development: Indicate the information and input the state accessed to develop this State Plan.

3.3 a. Analysis of state-level tools [Check all that applies and narrative where applicable]

- ☐ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☐ U.S. Census data
- ☐ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☐ Monitoring Visits/Assessments
- ☐ Tools not identified above (specify)
SCSO utilized information from the State of Utah Intergenerational Poverty Report and from the State's Comprehensive Report on Homelessness

3.3 b. Analysis of local-level tools [Check all that applies and narrative where applicable]

- ☐ Eligible entity community needs assessments
- ☐ Eligible entity community action plans
- ☐ Public Hearings/Workshops
- ☐ Tools not identified above (e.g., state required reports)

3.3 c. Consultation with [Check all that applies and narrative where applicable]

- ☐ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☐ State Association
- ☐ National Association for State Community Services Programs (NASCSPP)
- ☐ Community Action Partnership (The Partnership)
- ☐ Community Action Program Legal Services (CAPLAW)
- ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
- ☐ Regional Performance Innovation Consortium (RPIC)

- ☐ Association for Nationally Certified ROMA Trainers (ANCRT)
- ☒ Federal CSBG Office
- ☐ Organizations not identified above

3.4. Eligible Entity Involvement

- 3.4 a.** Describe the specific steps the state took in developing the State Plan to involve the eligible entities.

SCSO worked collaboratively with the State Association to gather input for the FY21-FY22 CSBG State Plan. Similar to the plan for gathering input for the FY20 State Plan, SCSO worked with the State Association to create multiple opportunities for CAAs to participate in the development of the state plan. SCSO sent an email to all CAAs and to the state association on 2/19/2020. Several responded with input. Additionally, the state association organized two round table discussions devoted to gathering CAA input for the FY21-FY22 plan. The round table discussions, moved to remote format due to the coronavirus epidemic, were held 3/19/2020 and 3/30/2020. SCSO called in for each of the round table meetings to allow for direct questions. Email, survey, and round table results were shared by the State Association with SCSO and used in the development of a draft of the FY21-FY22 CSBG State Plan. A draft plan was shared with the agencies on June 12, 2020 and additional comment requested. CAAs were also notified of the public hearing held July 13, 2020. Agencies were also able to submit comments during the public comment period which closed August 13, 2020.

- 3.4b. Performance Management Adjustment:** Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

For the development of the FY21-FY22 plan, SCSO built off of practices implemented last year and which seemed productive on review. SCSO emailed CAAs and the state association directly requesting input and partnered with the State Association. The State Association hosted round table discussions to gather feedback. By partnering with the State Association and by limiting SCSO's presence in the process (...we called into the round table discussions to answer questions...), we hoped to improve the amount and directness of feedback and input for the development of the FY21-FY22 plan. Agencies were sent a draft of the state plan (June 12, 2020) for review and comment, about a month ahead of the scheduled public hearing (July 13, 2020).

- 3.5. Eligible Entity Overall Satisfaction:** Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One: 90 Year Two: 91

Section 4

CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

Public Inspection of State Plan: Copies of the State Plan were made available by visiting the website of the State Community Services Office at <https://jobs.utah.gov/housing/scso/csbh/index.html>. Copy of the plan was posted to the public notice website (<https://www.utah.gov/pmn/index.html>) on June 12, 2020. In addition, a copy of the plan was distributed on June 12, 2020 to the following locations statewide to ensure statewide access to the plan: Department of Workforce Services in Salt Lake City, Bear River Association of Governments, Ogden Weber Community Action Partnership, Family Connection Center dba Open Doors, Salt Lake Community Action Program dba Utah Community Action, Community Action Services and Food Bank, Six County Association of Governments, Five County Association of Governments, Uintah Basin Association of Governments, Southeastern Utah Association of Local Governments, and Utah Community Action Partnership Association dba Community Action Partnership of Utah.

- 4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

Process for public notice/hearing:

Public Hearing: The State Community Services Office published the Notice of Public Comment and Public Hearing on June 12, 2020 on the public notice website and in local newspapers.

The public hearing was held July 13, 2020, in Salt Lake City. Interested parties were notified that copies of the CSBG plan were available by visiting the SCSO's website, the public notice website, as well as all 9 community action agencies and the state association.

Public comment remained open until August 13, 2020.

- 4.3. Public and Legislative Hearings:** In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Instructional Note: A public hearing is required for each new submission of the State Plan. The date(s) for the public hearing(s) must have occurred in the year prior to the first federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first federal fiscal year covered by this plan.

Date	Location	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
7/13/20--Public	1385 South State Street, Salt Lake City, UT 84115--public	<input type="radio"/> Public <input type="radio"/> Legislative <input type="radio"/> Combined	<input type="checkbox"/>
ADD a ROW function Note: States will be able to add as needed for each additional hearing.			

- 4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
[Attached]

Section 5

CSBG Eligible Entities

- 5.1. CSBG Eligible Entities:** In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Geographical Area Served (by county)	Public or Nonprofit	Type of Entity
Bear River Association of Governments	Counties Served: Box Elder, Cache and Rich.	• Public	CAA
Ogden Weber Community Action Partnership	Counties Served: Weber.	• Nonprofit	CAA
Family Connection Center dba Open Doors	Counties Served: Davis and Morgan	• Nonprofit	CAA
Salt Lake Community Action Program dba Utah Community Action	Counties Served: Salt Lake and Tooele.	• Nonprofit	CAA
Community Action Services and Food Bank	Counties Served: Utah, Wasatch, and Summit	• Nonprofit	CAA
Uintah Basin Association of Governments	Counties Served: Duchesne, Uintah, Daggett	• Public	CAA
Six County Association of Governments	Counties Served: Juab, Millard, Sanpete, Sevier, Piute, and Wayne	• Public	CAA
Southeastern Utah Association of Local Governments	Counties Served: Carbon, Emery, Grand, and San Juan	• Public	CAA
Five County Association of Governments	Counties Served: Beaver, Iron, Garfield, Kane, and Washington	• Public	CAA

- 5.2. Total number of CSBG eligible entities:** 9

5.3. Changes to Eligible Entities List: Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list:

- ☐ Designation and/or Re-Designation
- ☐ De-designations and/or Voluntary Relinquishments
- ☐ Mergers
- ☐ No Changes to Eligible Entities List

5.3a. Designation and Re-Designation: Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated).

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
Not applicable			
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

- 5.3b. De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

CSBG Eligible Entity	Reason
Not applicable	
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.	

- 5.3c. Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
Not applicable			
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

Section 6

Organizational Standards for Eligible Entities

- 6.1. Choice of Standards:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**

☒ COE CSBG Organizational Standards

☐ Modified version of COE CSBG Organizational Standards

☐ Alternative set of organizational standards

Note: Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale. [N/A](#)

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. [N/A](#)

6.1 c. Alternative Organizational Standards: If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards. [N/A](#)

☐ There were no changes from the previous State Plan submission

Provide reason for using alternative standards

Describe rigor compared to COE-developed Standards

- 6.2. Implementation:** Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary.

☐ Regulation

☒ Policy

☒ Contracts with eligible entities

☐ Other, describe:

6.3. Organizational Standards Assessment: Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s).

- ☐ Peer-to-peer review (with validation by the state or state-authorized third party)
- ☐ Self-assessment (with validation by the state or state-authorized third party)
- ☐ Self-assessment/peer review with state risk analysis
- ☐ State-authorized third party validation
- ☒ Regular, on-site CSBG monitoring
- ☐ Other

a. Assessment Process: Describe the planned assessment process.

The SCSO expects all agencies to be in compliance with the organizational standards in FY21 and FY22. A compliance rate that is below full conformity will require corrective action for each standard that is not met. Corrective action will be developed in partnership with the agencies and progress will be monitored by SCSO. SCSO will provide final review, determination, and approval of corrective action type and plan, as well as any revisions to corrective action plans. An organizational standard assessment tool is included in SCSO's monitoring tool and addresses the 58 standards required for private CAAs as well as the 50 standards required for public CAAs. The SCSO program specialist reviews agencies for compliance with the organizational standards as part of the program monitoring process and may include in this process desktop review of supporting documentation. Documents not submitted in advance for desktop review are viewed in the field during the on-site monitoring visit. During the on-site visit, opportunity is provided to answer questions as well as explain any deficiencies in meeting the organizational standards. Any areas of noncompliance found during the on-site visit are discussed during an exit interview; opportunity is provided for additional explanation; and, if corrective action is needed, the agency is invited to submit a corrective action plan which is reviewed by SCSO. Once an acceptable corrective action plan is in place, an SCSO program specialist follows up with the agency to ensure corrections are in place.

6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ☐ Yes ☒ No

6.3 a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[Auto – calculated]**

CSBG Eligible Entity	Exemption Provided	Description/Justification
N/A		
ADD a ROW function Note: Rows will be able to be added for each additional exception.		

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. Year One **100%** Year Two **100%**

SECTION 7

State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

- ☐ Historic
- ☒ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.

The 9 eligible entities receive a \$50,000 base and a percentage of the remaining 90% pass through funds. A “poverty percentage” was determined per jurisdiction as part of the revised funding formula adopted by Utah in FY2014. Based on ACS data from 2007-2011, each jurisdictions’ percent of the State’s total population living at or below 125% of poverty level was determined and used as a multiplier in addition to the base allocation.

7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? ☐ Yes ☒ No

7.2. Planned Allocation: Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Year One 90% Year Two 90%

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount \$
Bear River Association of Governments	\$259,665
Community Action Services & Food Bank	\$676,380
Family Connection Center dba Open Doors	\$264,311
Five County Association of Governments	\$316,873
Ogden Weber Community Action Partnership	\$305,547
Salt Lake Community Action dba Utah Community Action	\$1,150,594
Six County Association of Governments	\$144,378
Southeastern Association of Local Governments	\$138,570
Uintah Basin Association of Governments	\$97,625
Total	\$3,353,943

7.3. Distribution Process: Describe the specific steps in the state’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

CSBG funds are made available to the eligible entities as the State receives award letters from the Department of Health and Human Services, Administration for Children and Families (ACF). Contracts are amended with the receipt of each award letter. The contract process starts with the eligible entity’s application for funds, usually in August. Applications include a projected budget based on the final award of the prior fiscal year; however, contracts are created and then amended per receipt of award letter. SCSO works to have contracts in place by October 1. (Application period—3 weeks; Contracting period—3 weeks; Amendment process—3 weeks). With an executed contract in place, an eligible entity may access funds through submission of claim for reimbursement. Using SCSO’s online system, eligible entities submit a claim, upload appropriate supporting documentation, and receive same day notification of the claim’s submission. Claims are reviewed by SCSO staff generally within 3 business days. If there are questions on the claim or any of its documentation, the claim is put in correcting status and the agency contacted so that correction can be made. When the claim has been reviewed and approved it is forwarded to the finance department for final review (up to 5 days) and for payment, most often made by direct deposit (1 business day). If a check is required for payment, the payment process may take 5 days for the entity to receive payment.

7.4. Distribution Timeframe: Does the state plan to make funds available to eligible entities

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no later than 30 calendar days after OCS distributes the federal award?

☒ Yes ☐ No

7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption. **N/A**

7.5. Performance Management Adjustment: Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.

SCSO gathered feedback from CAAs on grant administration, and on SCSO's ACSI performance, and incorporated suggestions into strategic planning. Opportunities for improvement in all areas of the ACSI were discussed and noted. For example, CAAs requested a quarterly newsletter from SCSO to recap in one place updates that SCSO has shared through other venues (ie. email, state updates at the state association meeting, etc.) SCSO needs to develop this through the Department, but creation of a newsletter is in process. CAAs also asked for periodic and informal calls (one-on-one) as an opportunity to discuss current challenges as well as to touch base on expectations and requirements of the next several months. Communication increased to weekly conference calls as SCSO worked with CAAs to coordinate a variety of funding resources, including CSBG discretionary and CARES funding, to redress the impacts of the COVID-19 pandemic.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

Year One 5 %

7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

Year One 15

7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

Year One 1.3 **Remainder/Discretionary Funds Use:** Does the state have

remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act?

☒ Yes

☐ No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. **Year One** 5 % **Year Two** 5 %

Use of Remainder/Discretionary Funds – Year One (Based on FY20--\$186,330 Discretionary)		
Use of Remainder/Discretionary Funds	Year One	Year two--same
	Planned \$	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$80,000	Training and technical assistance provided to eligible entities by State Association
b. Coordination of State-operated programs and/or local programs	\$0	Provided by State Office
c. Statewide coordination and communication among eligible entities	\$14,000	State Association facilitates statewide communication through board and membership meetings/ Subsidy of subscription costs for CSBG software
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0	SCSO supports this activity with admin dollars
e. Asset-building programs	\$0	
f. Innovative programs/ activities by eligible entities or other neighborhood groups	\$1,500	Peer to peer learning support within network
g. State charity tax credits	\$0	
h. Other activities, specify_____	\$90,830	The State will support other activities as they are identified throughout the fiscal year that are network and state office priorities—including COVID response and ROMA support
Totals	Auto-Calculated	

7.9. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ The state directly carries out all activities (No Partnerships)
- ☐ The state does not have remainder/discretionary funds
- ☒ The state partially carries out some activities
- ☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)
- ☐ Other community-based organizations
- ☒ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other

- 7.10. Performance Management Adjustment:** Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
[Narrative, 5000 Characters]

The State gathered eligible entity input on the use of discretionary funds through survey and round table discussions and incorporated agency input as evidenced in the adjustments from the FY 20 discretionary plan to the FY 21-FY22 plan. The increase in the teaching and technical assistance amount planned for the state association reflects SCSO confidence in the leadership within that organization. The state association plans to take on more of the t/ta needed by the CAAs. The State will also continue to fund its portion of teaching and technical assistance activity through its admin allocation and thereby make available more discretionary resources for locally identified priorities. This significant allocation in funding the “other” category reflects effort by the State office to direct discretionary funds to priorities identified by the State and its eligible entity partners and the network’s reiterated appreciation and approval of this prioritization. CAAs requested remaining FY19 and FY20 discretionary be distributed to CAAs to immediately redress COVID-19 challenges and SCSO was able to quickly amend contracts and add these discretionary funds.

SECTION 8

State Training and Technical Assistance

- 8.1. Training and Technical Assistance Plan:** Describe the state's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds.)

FY 1 – Q1	Training	Other	Risk Assessment
FY 1 – Q1	Training	Monitoring	
FY 1 – Q1	Both	Annual Report	
FY 1 - Q 1`	Both	Other	Technology and support for reporting
FY 1 – Q2	Training	Governance/Tripartite Boards	
FY 1-Q 2	Both	Other	Performance Measurement and Data Analysis
FY1—Q2	Training	Other	Discretionary Funding
FY1-Q3	Both	Other	Advocacy/Impact Reporting
FY1 Q3	training	other	Board Vision and Best Practices
FY1 Q3	training	other	Poverty Conference
FY 1 – Q4	Training	Other	Financial Grant Management
FY 1 – Q4	Both	Other	Application and Planning
Ongoing	Both	Other	Peer to peer
Ongoing	Both	Organization Standards-including training for eligible entities with unmet standards	
Ongoing	Both	ROMA	
Ongoing	Training	other	Trauma informed care

FY 2 – Q1	Training	Other	Strategic Planning
FY 2 – Q1	Training	Monitoring	
FY 12– Q1	Both	Annual Report	
FY 2 - Q 1`	Both	Other	Technology and support for reporting
FY 2 – Q2	Training	Governance/Tripartite Boards	
FY 2-Q 2	Both	Other	Performance Measurement and Data Analysis
FY2—Q2	Training	Other	Discretionary Funding
FY2-Q3	Both	Other	Advocacy/Impact Reporting
FY2 Q3	training	other	Board Vision and Best Practices
FY2 Q3	training	other	Poverty Conference

FY 2 – Q4	Training	Other	Financial Grant Management
FY 12– Q4	Both	Other	Application and Planning
Ongoing	Both	Other	Peer to peer
Ongoing	Both	Organization Standards- including training for eligible entities with unmet standards	
Ongoing	Both	ROMA	
Ongoing	Training	other	Trauma informed care

- 8.1a. Training and Technical Assistance Budget:** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One \$80,000 Year Two \$80,000

- 8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance.

The State collaborates with the State Association and other stakeholders in the planning and delivery of training and technical assistance (t/ta). The State works with the State Association to solicit input from the CAAs as to t/ta need. The State Association surveyed CAAs and other stakeholders at its Poverty Conference and surveyed need while providing technical support over the past year. It conducted remote round table discussions with the CAAs (3/19/2020 and 3/30/2020) and invited the State to call in to answer questions. In each forum, topics and best platform for t/ta delivery were discussed as well as whether the State, State Association, or other resource would be best to provide the training. In this way, a plan for FY21-FY22 T/TA was developed that specifically identified timetable, topic, format, and presenting organization. As additional priorities were identified during the pandemic (including request for additional training in robust risk assessment), the t/ta plan was adjusted to include the additional requests.

- 8.2. TAPs and QIPs:** Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? ☐ Yes ☒ No

- 8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards.

One agency did not meet standard 5.5 due to lack of quorum for the tripartite board which caused meeting cancellation. This was followed by an inability to schedule another meeting within the time specified in its bylaws. Additionally, the same agency struggled to fill a vacant, public sector board position (standard 5.1). The agency filled the vacancy, held board member training on roles and responsibilities, adjusted language in its bylaws, and has since met quorum and held all meetings. The State supported the agency with t/ta on board roles and responsibilities and suggested the tripartite board review the language in its bylaws. There is no ongoing corrective action.

Another agency did not meet standard 6.4. The documentation used to support the standard at time of the monitoring was inadequate. The agency conducted new surveys and results were shared with SCSO as well as with the tripartite board. The agency demonstrated how this feedback was used in strategic planning—and would continue to be used going forward. There is no ongoing corrective action.

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.)

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- ☐ Other community-based organizations
- ☒ State Community Action Association
- ☐ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other

8.4. Performance Management Adjustment: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.
Note: This information is associated with State Accountability Measures 3Sd and may pre-populate the state's annual report form.

The State sent emails requesting input from the CAAs and coordinated with the state association to hold round table discussions to better understand the teaching and technical assistance needs of the CAAs and to more directly include their input into the FY21-FY22 CSBG State Plan. The State recognized need for some training in grant management as a result of monitoring and has worked that into the T/TA plan as well. The CAAs asked for training in several areas, including risk assessment, board training, and trauma informed care. The State included these requests in preparation of its T/TA plan for FY21 and FY22.

SECTION 9

State Linkages and Communication

9.1. State Linkages and Coordination at the State Level: Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed.

- ☒ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☐ State Weatherization office
- ☒ State Temporary Assistance for Needy Families (TANF) office
- ☒ State Head Start office

- ☐ State public health office
- ☐ State education department
- ☐ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ State child welfare office
- ☐ State housing office
- ☐ Other

9.2. State Linkages and Coordination at the Local Level: Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)).

Linkages and coordination efforts are identified at a local level by the CAAs. Through the needs assessment and the community action plan, the nine CAAs in Utah identify the gaps in their areas and create the linkages and engage in service coordination to fill as many gaps as possible. The State asks for specific input from the CAAs through surveys on how to facilitate better linkages on the local level. The State will continue to support and work with the CAAs to support collaborative efforts that may be beyond individual agency capacity. The State will support each entity in their efforts to work with other State department's local offices and will analyze the needs assessments and CAPs to identify overlap or opportunities for agencies to collaborate at a local level. If overlap is identified, the State will work with the CAAs to collaborate and redirect resources and clients to reduce duplication.

Below is a list of linkages and coordination throughout the State that is in place and or will be developed during this State Plan.

- Youth and Family programs at local community centers—including local Head Start programs
- DWS employment programs--WIOA One Stops/American Job Centers
- DWS-Intergenerational Poverty State Initiative
- DWS—Operation Rio Grande Homelessness Initiative
- DWS-TANF
- DWS--Vocational Rehabilitation job placement and coaching services
- Food Pantries
- Utah Food Bank for the distribution of food to other food banks and pantries throughout the State
- Local summer food programs to provide lunches and dinners to students while they are out of school
- FEMA—EFSP/Food Insecurity
- Local grocery stores for the supply of perishable goods for food pantries
- LDS Employment, Family, and Deseret Industry Services for self-sufficiency
- Local Health Departments for medical, hygiene, and referral services
- United Way VITA programs for Tax services
- Utah housing and local county housing coalition for development of fair and accessible housing
- Volunteer groups from local churches and universities to assist in increase organizational

capacity to deliver services

- Local homeless shelters to house homeless clients, Rapid Rehousing Programs
- Local Domestic Violence Shelters
- Local Housing Authorities
- USDA—Rural Planning Issues
- DWS—Housing and community Development—Rural Planning
- Local Homeless Coordinating Committees
- State Homeless Coordinating Committee
- HUD Continuum of Care/ESG/HOPWA
- Local public schools, applied technology centers, and community colleges.
- Voices of Utah Children to provide advocacy of children's needs throughout Utah
- Local HEAT, LIHEAP and Weatherization services
- Local Aging Services
- Americorps Utah
- Vista program

9.3. Eligible Entity Linkages and Coordination

- 9.3a. State Assurance of Eligible Entity Linkages and Coordination:** Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

The State conducts regular programmatic monitoring of the nine CAAs. During these monitoring visits, the State reviews the CAAs for linkages and coordination that the entities identified in the needs assessments and in their application for funds. The SCSO will determine if the entities have created the linkages and coordination with other agencies identified in the CAP. If the State determines that the entities have not met this assurance, the State will work with the entities and provide the needed support to assist the CAAs in fulfilling the assurance.

- 9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

Linkages, as described in Sec. 675 (C) of the CSBG Act, occur with the: “(1) use (of) funds available under this subtitle—(D) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.”

Linkages occur as local grantees prepare a community action plan every three years by conducting local needs assessments, describing resources available in their respective areas, performing an analysis of services designed to identify gaps and duplication, and finally, describing the agency policies and procedures regarding coordination.

Local grantees are working to expand their strategic planning beyond the 3-Year Needs Assessment conducted in their communities. The CAAs coordinate with their local Workforce Services, school districts, Continua of Care and their local homeless coordinating committees to extend community involvement in their agencies, enhance integration of services, maximize impact, and deepen understanding of need. These linkages not only provide more effective service delivery, but also help agencies meet the proposed organizational standards addressing consumer input and involvement as well as strategic planning.

Documentation of linkages is provided with the grant application to the State. The application identifies the other agencies and resources which coordinate and support the work program activities proposed.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training

Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

☐ Yes ☐ No

9.4a. WIOA Combined Plan: If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

The State of Utah includes CSBG employment and training activities in its WIOA Unified Plan through language that recognizes partnership and coordination with required partners. As the State implements the unified plan, it will work to refine and further develop that coordination and support through State Workforce Development Board committees and expert work groups. CAAs are encouraged (through contract and monitoring) to coordinate with and refer to their local Workforce Services One Stop. Coordination is additionally tightened for those Workforce Service centers that have transitioned to become American Job Centers.

9.4b. Employment and Training Activities: If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system. **N/A**

9.5. Emergency Energy Crisis Intervention: Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

During the review of the Annual Report, the SCSO reviews the linkages that exist between eligible entities and other antipoverty programs such as low-income home energy assistance programs. The State will continue to support coordination through referrals to eligible entities of other programs they qualify to provide.

List of CAAs which administer LIHEAP program:

1. Bear River Association of Governments
2. Five County Association of Governments
3. Salt Lake Community Action Program dba Utah Community Action
4. Six County Association of Governments
5. Southeastern Utah Association of Local Governments
6. Uintah Basin Association of Governments

List of CAAs who collaborate and refer clients to entities with LIHEAP programs:

1. Community Action Services and Food Bank – collaborates w/ Mountainland Association of Governments, Provo
2. Family Connection Center dba Open Doors – collaborates w/ Futures Through Training, Ogden
3. Ogden-Weber Community Action Partnership – collaborates w/ Futures Through Training, Ogden

9.6. Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.

The State of Utah assures that CSBG funds are coordinated with other organizations, including faith-based organizations, charitable groups, and community organizations, primarily through the process of requiring and collecting comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act, and through monitoring activities, including but not limited to the collection of the annual report each year and monitoring on Organizational Standards.

Eligible entities are required to provide to the State of Utah, every three years, a comprehensive community assessment, which includes data specific to poverty and its prevalence related to gender, age, and race/ethnicity in the service area, qualitative and quantitative data on the geographic service area, and key findings on the causes and conditions of poverty and the needs of the communities assessed. The community assessment also includes information gathered from key sectors of the community, including at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.

The information gathering activities, mandated by the community needs assessment, require eligible entities to engage and communicate with other service providers in the service area. In addition, the assessment requires the eligible entity to analyze internal programmatic activities and resources to determine whether more effective strategies for service delivery or opportunities for partnership or coordination exist. The State of Utah utilizes the process and findings of the community needs assessments to encourage more effective use of funds and coordination and collaboration with related programs and organizations in each respective service area.

The State of Utah further assures coordination of programs and partnerships among local entities and other organizations through monitoring activities, including but not limited to the collection of the Annual Report each year and monitoring on Organizational Standards. The Annual Report includes National Performance Indicators (NPIs) that measure the number agencies with which each local eligible entity partners and the number of partnerships the eligible entity engages with respect to CSBG. Further, Organizational Standards require agencies to document or demonstrate partnerships across the community, for specifically identified purposes (Standard 2.1), and to utilize CNA information from key sectors.

9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources: Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

The State of Utah assures that CSBG funds are coordinated with other public and private resources primarily through monitoring activities, including the collection of Annual Report data and through the process of requiring and collecting comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act – Section 676(b)(11).

The State of Utah assures coordination of programs and effective use of funds through monitoring activities, including but not limited to the collection of the Annual Report each year. Annual Reports include detailed information on the public and private resources of local eligible entities

and how resources are used.

Additionally, eligible entities are required to provide to the State of Utah every three years a comprehensive community assessment. The activities mandated by the community needs assessment require eligible entities to analyze internal programmatic activities and resources to determine whether more efficient or effective strategies for service delivery exist within the agency. The State of Utah utilizes the process and findings of the community needs assessments to encourage more effective use and coordination of resources and coordination with related programs in each respective service area. Furthermore, the eligible entity work plans produced in the community needs assessments are used to inform the CSBG contract making process with each eligible entity.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe state activities for supporting coordination among the eligible entities and the State Community Action Association.

The State of Utah supports coordination among CSBG eligible entities through the discretionary activities of the State Association, Community Action Partnership of Utah (CAP Utah). CAP Utah convenes bimonthly State Association Meetings that are open to all eligible entities and are a forum for collaboration, coordination, and CSBG training and technical assistance. CAP Utah also supports coordination among eligible entities through facilitation of communications of the CSBG peer-network in Utah, including through the maintenance of an electronic library of CSBG T/TA resources, and timely updates from state and national partners. CAP Utah an annual poverty conference, a training event that increases the capacity of eligible entities and serves as a forum for collaboration, continuing education, networking, peer-support, and skill development. Furthermore, coordination is supported, encouraged, and facilitated as needed through regular consultation by CAP Utah with local eligible entities.

9.9. Communication with Eligible Entities and the State Community Action Association: In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	Dropdown Options: <ul style="list-style-type: none">Annually	Dropdown Options: <ul style="list-style-type: none">Email and public notice	
State Plan Development	Dropdown Options: <ul style="list-style-type: none">Other	Dropdown Options: <ul style="list-style-type: none">Other	Email for input sent to CAAs Feb 2020. Remote Round table discussions with CAAs held 3/19/2020 and 3/30/2020. Draft sent for comment June 12, 2020.

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
Organizational Standards Progress	Dropdown Options: <ul style="list-style-type: none"> As needed 	Dropdown Options: <ul style="list-style-type: none"> Meeting/email/phone 	
State Accountability Measures Progress	Dropdown Options: <ul style="list-style-type: none"> Annually 	Dropdown Options: <ul style="list-style-type: none"> Email/meeting 	
Community Needs Assessments/Community Action Plans	Dropdown Options: <ul style="list-style-type: none"> Annually 	Dropdown Options: <ul style="list-style-type: none"> Email meeting/webinar 	
State Monitoring Plans and Policies	Dropdown Options: <ul style="list-style-type: none"> Annually 	Dropdown Options: <ul style="list-style-type: none"> Email/webinar 	
Training and Technical Assistance (T/TA) Plans	Dropdown Options: <ul style="list-style-type: none"> Annually 	Dropdown Options: <ul style="list-style-type: none"> Meeting Email 	Annual training is provided as well as on an as needed basis. Communication/meetings follows accordingly
ROMA and Performance Management	Dropdown Options: <ul style="list-style-type: none"> Annually and as needed 	Dropdown Options: <ul style="list-style-type: none"> Email Webinar 	
State Interagency Coordination	Dropdown Options: <ul style="list-style-type: none"> Quarterly 	Dropdown Options: <ul style="list-style-type: none"> Email 	
CSBG Legislative/Programmatic Updates	Dropdown Options: <ul style="list-style-type: none"> Other 	Dropdown Options: <ul style="list-style-type: none"> Email 	Updates are forwarded as they are received and reviewed during webinars/in person meetings.
Tripartite Board Requirements	Annually	<ul style="list-style-type: none"> Presentation/email 	
	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	
	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	

- 9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures.

The State forwards copy of the ACSI report to the agencies within 30 days of receipt of the report. The State presents the report at State Association meeting following the distribution of the report. The State shares its plan for improvement on the ACSI through email, webinar discussion, or in person meeting (State Association or other) within 60 days of receipt of report and following analysis and strategic planning conducted by the State.

- 9.11. Performance Management Adjustment:** Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

The State adjusted its communication plan to solicit and encourage CAA participation in the development of the FY21-FY22 State Plan. The State recognized from analysis of ACSI scores that there was continued opportunity to improve performance in this area. Changes were made in process for the preparation of the plan. SCSO review of adjustments made in FY20 encouraged further adjustment for the development of the FY21-FY22 plan. For FY21-FY22, SCSO sent emails to the CAAs directly requesting input and comment for the FY21-FY22 plan and SCSO collaborated with the State Association, which conducted remote round table discussions to gather input for the FY20 plan. SCSO called into the round table meetings so as to be available during part of the meeting to answer questions. The feedback gathered by the State Association was shared with SCSO and incorporated into the development of the FY21-FY22 plan.

SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on- site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet state goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist states in planning. States may indicate “no review” for entities the state does not plan to monitor in the performance period.

Monitoring Schedule – Year One

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Last Full Onsite Review-Start date	Last Full Onsite Review-End date	Brief Description of “Other”
Bear River Association of Governments	Full	onsite	FY1 Q4	11/13/2019	5/20/19	
Community Action Services and food Bank	Full	onsite	FY1 Q3	7/21/20	7/21/20	
Family Connection Center	Full	onsite	FY1 Q1	10/30/19	10/30/19	
Five County Association of Governments	Full	onsite	FY1 Q2	6/26/20	6/26/20	
Ogden Weber Community Action Partnership	Full	onsite	FY1 Q2	1/8/20	1/8/20	
Salt Lake Community Action Program	Full	onsite	FY1 Q3	3/25/20	3/25/20	
Six County Association of Governments	Full	onsite	FY1 Q3	5/20/20	5/20/20	
Southeastern Utah Association of Local Governments	Full	onsite	FY1 Q2	3/3/20	3/3/20	
Uintah Basin Association of Governments	Full	onsite	FY1 Q3	5/28/20	5/28/20	

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attached]**

10.3. Initial Monitoring Reports: According to the state’s procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities?

20 business days

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings: Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? ☒ Yes ☐ No

10.4a. Closing Findings Procedures: If no, describe state procedures for addressing

eligible entity findings/deficiencies, and the documenting closure of findings.

10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable. 0

10.6. Reporting of QIPs: Describe the state's process for reporting eligible entities on QIPs to

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the Office of Community Services within 30 calendar days of the state approving a QIP?

At the discretion of the State (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), the State allows the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan (QIP) to correct such deficiencies within a reasonable period of time, as determined by the State. The State will review and issue a decision on whether to approve the plan no later than 30 days after receiving the plan from an eligible entity. If the State does not accept the plan, the State will specify the reasons why the proposed plan cannot be approved and will, in partnership with the entity, develop and implement a different QIP with an accompanied time frame.

SCSO will report to the Federal OCS any QIP within 30 calendar days of the QIP being created and approved. The report will contain the agency undergoing the QIP, the deficiency being addressed, the rationale for the QIP, and the QIP in its entirety.

- 10.7. Assurance on Funding Reduction or Termination:** The state assure that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)” per Section 676(b)(8) of the CSBG Act. ☒ Yes ☐ No

Policies on Eligible Entity Designation, De-designation, and Re-designation

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☒ No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

10.8 b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public.

The State Community Services Office will adhere to the requirements in Section 676A of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 42 to re-designate eligible entities.

- 10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? ☐ Yes ☒ No

10.9 a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.

10.9 b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public.

The State Community Services Office will adhere to the requirements in Section 678C of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 116 to terminate the designation of eligible entities.

10.10. Eligible Entity Re-Designation: Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? ☐ Yes ☒ No

10.10 a. Re-Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

10.10b. Re-Designation Procedures: If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public.

The State Community Services Office will adhere to the requirements in Section 676A of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 42 to re-designate eligible entities.

Fiscal Controls and Audits and Cooperation Assurance

- 10.11. Fiscal Controls and Accounting:** Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The primary financial accounting system for the State of Utah is FINET. The FINET system facilitates budget planning and long-range financial programming. Data from this system is used to compile the annual SF-425 Federal fiscal reports (FFR). The accrual basis report is reviewed by the Division Accounting Manager and submitted annually based on the September 30 Federal fiscal year end.

The SCSO, within the Housing and Community Development Division (HCDD) of the Utah Department of Workforce Services (DWS), has primary responsibility for administering the CSBG program. SCSO utilizes WebGrants, a web-based grants management system, for tracking administrative and discretionary expenditures under the CSBG program. Financial data from the Web Grants system is reconciled to the FINET system periodically.

Eligible entities are required to submit an annual application which includes a community action plan (CAP) and CSBG program budget. The applications are submitted online; funding is appropriated; and the grant agreements are generated from the Web Grants system.

The CSBG sub-awards are managed on a cost reimbursement basis. Throughout the grant period, the sub-recipients create and submit a request for reimbursement online using Web Grants. Costs are summarized and reported by CSBG budget category. Supporting documentation includes a minimum of transaction level detail report(s) generated from the eligible entity's financial management system is attached to each request for funds (RFF). The RFF is reviewed by the program specialist to determine if the reported costs are appropriate and, if approved, forwarded to DWS Finance for further processing. Finance reviews each claim and, upon approval, forwards authorization for payment. All nine eligible entities requested and have been approved for Direct Deposit.

Discretionary funds are managed similarly to those of the eligible entities.

Administrative costs include the salaries and benefits for various staff assigned to the CSBG program. Time is recorded in an online database and the detail is maintained in FINET. The State uses direct billing for all employee expenses, including travel. Summary amounts for administrative costs incurred are posted in the WebGrants system to assist the Program Manager in monitoring budgeted versus actual expenditures.

- 10.12. Single Audit Management Decisions:** Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

Single audit reports are reviewed by the Department of Workforce Services (DWS) single audit Compliance Officer and a Financial Analyst within DWS. SCSO is notified in writing of any findings that may affect CSBG or other programs administered by SCSO.

The DWS auditor reviews the independent auditor's finding(s) and the CAA's response(s). The DWS auditor notifies the CSBG program manager of any findings related to programmatic issues. SCSO staff may request specific documentation or conduct an on-site review to determine the

extent to which CSBG program funds or program requirements may be affected. Once the evaluation has been completed, DWS issues a management decision letter to the CAA.

DWS issues the management decision letter within six months of the date the single audit is accepted by the Federal Audit Clearinghouse. The letter states whether or not the audit finding is sustained, the reasons for the decision, and the expected CAA action to repay disallowed costs, make financial adjustments, or other action.

For findings involving questioned costs, the management decision letter includes a statement that:

1. The corrective action taken by the CAA is considered adequate to resolve the finding and no further action is required; or
2. Additional information needs to be provided by the CAA as to the status of the planned corrective action; or
3. Based on the information made available through the date of the Management Decision Letter, the CAA is required to reimburse DWS an amount for questioned costs, or provide additional documentation justifying the allowability of questioned costs by a specified date. The CAA is provided information regarding any appeal process available and notified of the consequences for failure to honor such request for repayment or additional documentation.

For administrative findings, the Management Decision Letter includes a statement that:

DWS is satisfied that the CAA has taken corrective action to resolve the finding(s), and no further action is required; or

The CAA needs to address the uncorrected issues by developing and implementing the necessary corrective actions. The CAA may be required to submit quarterly progress reports, with the due date of the initial report and dates for subsequent quarterly reports specified. Any uncorrected administrative findings will be tracked until effective corrective action is implemented, or other resolution occurs that meets the approval of DWS.

10.13. Assurance on Federal Investigations: The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. ☒ Yes ☐ No

10.14. Performance Management Adjustment: Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

The State streamlined its monitoring procedure to review as many of the standards as possible through desk review of submitted documentation prior to the onsite visit. This adjustment shrank the amount of time the State was onsite, thereby limiting impact on operations caused by a monitoring visit, and provided more time for contract performance discussion and questions. The agencies expressed appreciation of the shift and the State recognized, through analysis of past monitoring reports, that it would be beneficial to have more onsite time to review of contract performance.

SECTION 11

Eligible Entity Tripartite Board

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act.

- ☐ Attend Board meetings
- ☐ Organizational Standards Assessment
- ☐ Monitoring
- ☐ Review copies of Board meeting minutes
- ☐ Track Board vacancies/composition
- ☐ Other

11.2. Tripartite Board Updates: Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☒ As It Occurs
- ☐ Other

11.3. Tripartite Board Representation Assurance: Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act.

The SCSO will review, as part of the monitoring process each fiscal year, the bylaws of the eligible entities and determine if there is a procedure describing how a qualified individual or organization can petition for representation on the board. This review occurs before the SCSO Program Specialist arrives at the organization's site. If the Program Specialist determines that the procedure is not in the bylaws then the SCSO will provide the agencies with the appropriate language and procedure, and require that the agency incorporate the procedures into their bylaws by the next agency board meeting (the agency will be permitted to use language that is appropriate for their agency). Within one week of the board meeting, the agency is required to submit the updated and approved bylaws to the appropriate SCSO staff for review and verification. SCSO will ensure that all eligible entities have a petitioning procedure in their bylaws.

If, after being supplied with the appropriate language and procedure, the agency does not include such a procedure in its bylaws by the next board meeting, the SCSO will pursue corrective action or training and technical assistance to ensure that the agency included the proper petitioning procedures.

11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the state to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act? ☐ Yes ☒ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

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Section 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. [Select one item below and numeric response where applicable.]

☐ 125% of the HHS poverty line

☒ X % of the HHS poverty line FY21-200% FPL and FY22- 125% FPL %

☐ Varies by eligible entity [Narrative, 5000 characters]

12.1a. Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. [Attached]

12.2. Income Eligibility for General/Short Term Services: Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.

The nine CAAs agencies throughout Utah verify income, using third party documentation, for every program that requires verification. In the situation that such documentation does not exist, or the participant has tried to retrieve documentation of proof of income and has been unsuccessful, the participant is required to complete and sign a self-declaration of no income. When the participant is able to obtain proof of income, the participant is required submit it to a case manager who will then assess the income eligibility of the services provided.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

Eligible entities begin the process of ensuring that services target low-income communities through the needs assessment. This assessment surveys low-income individuals and organizations serving low-income people. The survey collects information regarding services that are available and services that are needed. With this data, entities create partnerships, strategic goals, community programs, and services that target the people and organizations surveyed. The agencies partner with other organizations that serve low-income individuals and their communities. The State verifies, (using the needs assessment, IS report, and monitoring results) that services are targeting low-income individuals.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

- 13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. **[Select one]**

Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

- ☒ The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.

The State includes adherence to the organizational standards in its CSBG contracts. The State's monitoring tool also includes the organizational standards, several of which incorporate ROMA. The State supports ROMA training and implementation through Discretionary activities which include support for regular training, as-needed training, and consultation on ROMA principles to local CAAs by ROMA certified trainers.

13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

N/A

- 13.2. Outcome Measures:** Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.

- ☒ CSBG National Performance Indicators (NPIs)
- ☐ NPIs and others
- ☐ Others

The State of Utah will use the CSBG National Performance Indicators as outcome measures to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.

- 13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using ROMA or an alternative performance management system.

The nine Community Action Agencies (staff and boards) have been trained and continue to receive ongoing training in outcome-based management, and Community Action Agencies have implemented ROMA concepts for all CSBG-related activities to guide needs assessments, agency mission review, activity planning, resource allocations, service delivery, and measuring and

reporting results. The use of a data system is required and must be submitted annually to the State to support the Annual Report. With this requirement, the agencies have the data available to evaluate program performance and make adjustments. In monitoring to compliance with the organizational standards, the State also holds agencies and their board accountable to using ROMA methodology and provides T/TA support via the State Association on a scheduled and as-needed basis.

13.4. Eligible Entity Use of Data: Describe how the state plans to validate that the eligible entities are using data to improve service delivery.

The State does and will ensure that entities are using client data, which is tracked and gathered for outcome measures and to improve service delivery, as part of the monitoring process and procedures that occur annually. The SCSO attends or receives minutes of mid-year board meetings where the CAAs report on their mid- year progress in meeting organizational goals. During the monitoring process, the State will continue to review the ROMA tracking system that each entity uses. Most of the CAAs have either the ClientTrack or CAP60 system that is used for client application in-take and outcome measures. During the monitoring process, the SCSO staff member reviews the entity's client tracker systems and data reports. The use of data is also verified in the mid-year and annual reports. Below are the monitoring questions that the State asks the eligible entities on how data is used to improve service delivery:

Is the agency on track to meet the goals and objectives stated in the application and Scope of Work by the end of the contract period?

Is the agency utilizing all of its current year Performance Measures in its service delivery area to measure outcomes?

Has the agency developed a system, or does the agency use the existing ROMA system, to provide a description of outcome measures to be used to measure performance in promoting self-sufficiency, family stability, and community revitalization?

Is the agency utilizing all of its current year Performance Measures in its service delivery area to measure outcomes?

Community Action Plans and Needs Assessments

- 13.5. Community Action Plan:** Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

The State requires a work plan to accompany annual application for CSBG funding. The contract work plan must tie directly to the agency's Community Action Plan which comes from the CAA's three year community needs assessment. The most recent needs assessments and community action plans were submitted to the SCSO in August, 2019.

- 13.6. Community Needs Assessment:** Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

The State currently and will continue to require that agencies submit a community needs assessment every three years and as required by Section 676(b)(11) of the CSBG Act. In August 2019, the next needs assessment will be submitted by the CAAs to SCSO. If an agency does not submit a needs assessment, the State will make sure T/TA and consulting is provided to the entity to assist in conducting an assessment.

SECTION 14
CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1. Use of Funds Supporting Local Activities

CSBG Services

14.1 a. 676(b)(1)(A) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self- sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

CSBG funds are used to support the homeless, migrant or seasonal farm workers, elderly, low-income individuals and their families, and families receiving TANF that income eligible for

CSBG. The State will collect, through the needs assessment and the CAP, the different programs and services that will be offered in each program area. Each entity does not offer programs in each area; this largely depends on the needs in their counties and the funds and staff available to each entity. The State will verify that the services and programs are being provided through the information collected in the annual report. Through yearly programmatic monitoring, the State will follow up with the entities to determine if they are spending money in the programmatic areas as planned as part of contract performance review. The annual monitoring also includes review of local partnerships, linkages, and referrals to assure that clients emergency needs are met, literacy, financial, and employment skills are promoted, housing needs are addressed, and grass roots participation is fostered.

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Needs of Youth

14.1b. 676(b)(1)(B) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
 - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

Development programs that support the primary role of the family	Food box programs Providing family support programs: nursery, parent education, and therapy. Working with parents and providing them the skills to support their children in a way which increases academic achievement.
Prevention of Youth problems and crime	Provide community resources for youth, including work skill development programs and after school programs
Community coordination and collaboration in meeting needs of youth	Work with local food banks, school districts and local principals to provide the weekend food backpack program.
Support innovative community youth development programs	After school programs helping youth in physical development, team work, social skills, and self-esteem building Day care for parents attending work or school Summer or service activities to support parents/guardians.

14.1.b—in format that’s better for OLDC:

Development of programs that support the primary role of the family: The State supports:

1. Food box programs
2. Providing family support programs: nursery, parent education, and therapy.
3. Working with parents and providing them the skills to support their children in a way which increases academic achievement.

Prevention of Youth problems and crime: The State supports:

- 1 . Provide community service resources for youth including work skill development programs and after school programs.

Community coordination and collaboration in meeting needs of youth: The State supports:

- 1 Work with local food banks, school districts and local principals to provide the weekend food backpack program.

Support innovative community youth development programs: The State supports:

1. After school programs helping youth in physical development, team work, social skills, and self-esteem building
2. Day care for parents attending work or school
3. Summer or service activities to support parents/guardians.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The State of Utah assures that funds are used to make more effective use of, and coordinate with, other programs related to the purposes of CSBG through several mechanisms, including coordination with the State initiative on Intergenerational Poverty and local initiatives on homelessness, facilitated by investment of State discretionary funds for Operation Rio Grande. The State also requires submission of comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act Section 676(b)(11). CNAs include data specific to poverty and its prevalence related to gender, age, and race/ethnicity in the service area, qualitative and quantitative data on the geographic service area, and key findings on the causes and conditions of poverty and the needs of the communities assessed. The analysis and strategic planning activities mandated by the CNA require eligible entities to examine internal programmatic activities and resources to determine whether more efficient or effective strategies for service delivery exist within the agency. The State of Utah will utilize the process and findings of the CNAs to encourage more effective use of funds and coordination with other funding sources and related programs in each respective service area. Furthermore, the eligible entity community action plans will be used to inform the CSBG contract making process with each eligible entity. The State of Utah further assures coordination of programs and effective use of funds through monitoring activities, including but not limited to the collection of Annual Reports each year, which include detailed information on the resources of local eligible entities and National Performance Indicators (NPIs) that measure eligible entities’ capacity to achieve results. The State also encourages coordination through support of Continua of Care and encouragement of CAA participation in local homeless coordinating committees. With homeless funds, HEAT, LIHEAP, Weatherization, and TANF funds administered by DWS, program coordination is a natural result.

State Use of Discretionary Funds

- 14.2. 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;”

Utah’s CSBG network consists of nine community action agencies, five of which are public, and four of which are private. CSBG grantees meet the requirements of the CSBG Act through a variety of programs and activities. The service delivery systems vary among agencies, but all coordinate with local resources, including the WIOA One-Stops/American Job Centers. Changing local needs and the availability of resources are reflected in the annual application. Some agencies emphasize case management and family development programs, with others emphasizing emergency services, housing and nutrition. The community action plan identifies the problem area and outlines the objective, activities, and projected outcomes. The semi-annual progress report shows accomplishments and includes data on client management goals that fulfill its mission, State requirements, and the mandates of Federal legislation. Program administration includes planning and coordination, monitoring and oversight, characteristics and grantee level of effort.

Eligible Entity Linkages – Approach to Filling Service Gaps

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations.”.

[No response; links to 9.3b.]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

- 14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

[No response; links to 9.7]

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

- 14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

Local eligible entities use CSBG funds to meet family and community needs pertaining to poverty in their service regions, in accordance with the CSBG Act. The State of Utah will encourage eligible

entities to make effective use of funds, including through the State initiative on intergenerational poverty, and through local initiatives related to fatherhood initiatives with the goal of strengthening families and encouraging parenting. Local eligible entities may also partner with other service providers, whose activities include initiatives relating to fatherhood, parenting, and strengthening families. Further, the State of Utah encourages and supports eligible entities in utilizing CSBG as base funds to leverage resources from other federal programs, such as Temporary Assistance for Needy Families (TANF), which directly supports initiatives pertaining to fatherhood, parenting, and strengthening families, in addition to other state, local, and private resources.

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Eligible Entity Emergency Food and Nutrition Services

- 14.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

Each of the nine CAAs will determine, in conjunction with the needs assessment, what food services and nutrition programs they will offer. The State will use the needs that are identified per agency and monitor each entity accordingly. The State will also use the annual report to verify that agencies are offering appropriate services in line with the identified needs in their area. Community Action Agencies provide a variety of food programs aimed at counteracting hunger and malnutrition for a diverse population of low-income individuals.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 14.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

[No response; links to 10.13]

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

[\[No response; links to 10.7\]](#)

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

[\[No response; links to 9.6\]](#)

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

[\[No response; links to item 11.3\]](#)

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

[No response for this item]

- ☐ By checking this box, the state CSBG authorized official is certifying the assurances set out above.

SECTION 15

Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

15.2. Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

☐ Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and

Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

15.4. Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.